

SUBSTITUTE FORM PTO-1449  
(MODIFIED)U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.  
IBM/272SERIAL NO.  
10/777,576INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT

(Use several sheets if necessary)

(37 CFR 1.98(b))

APPLICANT  
Toshiharu Furukawa et al.FILING DATE  
February 12, 2004GROUP  
2811

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		PATENT NUMBER							ISSUE DATE	PATENTEE	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
ON	AA	5	7	9	6	5	7	3	8/18/1998	Kotecki et al.	361	321.5	5/29/1997
ON	AB	6	8	9	1	2	2	7	5/10/2005	Appenzeller et al.	257	346	
	AC												
	AD												
	AE												
	AF												
	AG												
	AH												
	AI												
	AJ												
	AK												

## FOREIGN PATENTS OR PUBLISHED FOREIGN PATENT APPLICATIONS

		DOCUMENT NUMBER	PUBLICATION DATE	COUNTRY OR PATENT OFFICE	CLASS	SUBCLASS	TRANSLATION (YES/NO)
ON	AL	EP 1 361 608	11/12/2003	EP	H01L 21/768	H01L 23/532	N/A
	AM						
	AN						
	AO						
	AP						
	AQ						

## OTHER DOCUMENTS (Including Author, Title, Date, Place of Publication)

ON	AR	Appenzeller et al., <u>United States Published Patent Application No. US20050056268</u> , Publication Date: 3/17/2005
ON	AS	Chol et al., <u>United States Published Patent Application No. US 2003/0230760</u> , Publication Date: 12/18/2003
ON	AT	V.N. Popov, <u>Carbon Nanotubes: Properties and Application</u> , Materials Science and Engineering, R. Vol. R43, No. 3, pp. 61-102 (1/15/2004) (Summary only)

EXAMINER

ON

DATE CONSIDERED

10/25/06

EXAMINER: Initial if citation considered, whether or not in conformance. Draw line through citation only if not in conformance and not considered. Include a copy of this form with next communication to applicant.

Substitute Disclosure Form (PTO-1449)

PTO/SB/08A

Application Number.: 10/777,576Filing Date: February 12, 2004First Named Inventor: Toshiharu FurukawaArt Unit: 2811Examiner Name: Steven Ho Yin LokeAttorney Docket Number.: ROC920030271US1**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

Sheet 1 of 2

**U.S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number Number - Kind Code <sup>2</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns or Lines Where Relevant Passages or Figs. Appear
<i>ON</i>		US - 2002/0163079 A1	11-07-2002	Awano	
<i>ON</i>		US - 2003/0132461 A1	07-17-2003	Roesner et al.	
<i>ON</i>		US - 2003/0227015 A1	12-11-2003	Choi et al.	
		US -			
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		US -			
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**FOREIGN PATENT DOCUMENTS**


Examiner Initials	Cite No. <sup>1</sup>	Foreign Patent Document Country <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> Code (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns or Lines Where Relevant Passages or Figs. Appear	T <sup>6</sup>
<i>ON</i>		EP 1 331 671 A1	07-30-2003	Aono et al.		
		EP 1 361 608 A2	11-12-2003	Haase		
		EP 1 435 660 A2	07-07-2004	Cheong et al.		
<i>ON</i>		WO 03/063208 A2	07-31-2003	Dehon et al.		

Examiner Signature	<i>ON</i>	Date Considered	6/25/04
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kind Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3).

<sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language translation is attached.



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Filing Date: February 12, 2004  
First Named Inventor: Toshiharu Furukawa  
Art Unit: 2811  
Examiner Name: Steven Ho Yin Loke  
Attorney Docket Number.: ROC920030271US1

## OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

[illegible]

Examiner Signature	<i>on</i>	Date Considered	10/25/06
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<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kind Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3).

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